



DEPARTMENT OF THE NAVY

NAVAL AIR SYSTEMS COMMAND
NAVAL AIR SYSTEMS COMMAND HEADQUARTERS
WASHINGTON, DC 20361 -0001

IN REPLY REFER TO

NAVAIRINST 5000.19A
AIR-1002
14 Sep 92

NAVAIR INSTRUCTION 5000.19A

From: Commander, Naval Air Systems Command

Subj: ACQUISITION REVIEW PROCEDURES

Ref: (a) DODD 5000.1
(b) DODINST 5000.2
(c) SECNAVINST 5420.188C
(d) DODD 7920.1 (NOTAL)
(e) SECNAVINST 5231.1B (NOTAL)
(f) COMNAVAIR memo 13000 Ser 10042B/4101G of 7 Apr 92 (NOTAL)
(g) SECNAVINST S5460.3A
(h) OPNAVINST S5460.4C
(i) NAVAIRINST 5000.13C (NOTAL)
(j) NAVAIRNOTE 5400 of 12 Sep 91 (NOTAL)

Encl: (1) Summary of Program Review Responsibilities by ACAT Level
(2) The Acquisition Review Board
(3) The Acquisition Issue Board
(4) Guidelines for Program Presentations

1. Purpose. To publish procedures, guidelines, and responsibilities for conducting Acquisition Review Boards (ARB's) and Acquisition Issue Boards (AIB's) in connection with programs managed by the Commander, Naval Air Systems Command (COMNAVAIR), the Program Executive Officer for Air Anti-Submarine Warfare, Assault and Special Mission Programs (PEO(A)), the Program Executive Officer for Tactical Aircraft Programs (PEO(T)), and Direct Reporting Program Managers (DRPM).

2. Cancellation. This instruction supersedes NAVAIR instruction 5000.19 of 26 September 1990. Since this is a major revision, changes are not indicated.

3. Definitions. Program manager (PM), as used in this instruction, applies to all program managers, air; automated information system managers; system program managers; and acquisition managers within the Naval Air Systems Command (NAVAIR), DRPM, or the PEO organizations.

4. Background. References (a) and (b) establish acquisition policy within the Department of the Navy, including the criteria for determining a program's acquisition category (ACAT) level and the definitions of the various decision milestones. Reference (c) establishes the Navy and Marine Corps Program Decision Meeting (PDM) as the Department of the Navy forum for acquisition program milestone decision reviews and provides guidance on the format for PDM briefings. The PDM format outlined in reference (c) is also applicable to ARB briefings. References (d) and (e) define automated information system life cycle management phases, approval levels, and milestones, and establish the requirement for obtaining milestone approvals as part of the life cycle management review



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process. The AIB briefing, established by reference (f), is outlined in enclosure (3). Special project responsibilities requiring acquisition management activities assigned to NAVAIR or the PEO's will be managed under the policy and guidelines of references (g) and (h).

5. Discussion

a. Enclosure (1) summarizes the NAVAIR/PEO/DRPM program review responsibilities and the various review forums. The final review level for an acquisition program is based on the ACAT level of that program and on whether the program constitutes a special project.

b. The ARB is used to review programs that are scheduled for a milestone decision review or some other higher level review. As part of the preparation for an ARB, a coordination meeting limited to PEO/NAVAIR/DRPM personnel will be held unless waived by the chair. Enclosure (2) provides details on the procedures concerning ARB's and the associated coordination meetings.

c. The ARB for an ACAT IV program is the final milestone decision review as the ARB chair is the program decision authority for an ACAT IV program.

d. The AIB may be used to review acquisition programs that have unresolved issues which are not generally scheduled to go forward to a PDM, Program Review, or other higher level review. The AIB is not convened in connection with a milestone review and has no formal, permanent Board membership. The members of the AIB will be determined by the nature of the issue and attendance will generally be limited to in-house personnel. Enclosure (3) provides details on AIB procedures.

e. Enclosure (4) provides general guidance applicable to the above presentations.

f. Special project activities requiring special, classified management reviews will have a tailored management review process that is structured to resolve the issues while maintaining good management practices within the project security requirements. In general, the procedures described in this instruction will be applied to these special project acquisition management activities.

g. Programs which do not fit the program descriptions above due to either lack of an ACAT designation, unusual funding/requirements constraints, or as a result of special guidance directed by higher authority, will have tailored management reviews under this instruction. The PEO, DRPM, or Deputy Commander for Acquisition and Operations (AIR-01) for NAVAIR managed programs, will decide whether the forum will be an ARB, AIB, or Program Management Review (PMR), which is covered separately by reference (i).

6. Responsibilities

a. PEO(A), and PEO(T), or their delegate, will convene and chair ARB's, associated coordination meetings, and AIB's for programs under their respective cognizance.

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b. In accordance with reference (j), AIR-01 will convene and chair ARB's, associated coordination meetings, and AIB's for programs within NAVAIR.

c. The DRPM, or his delegate, will convene and chair ARB's, associated coordination meetings, and AIB's for direct reporting programs.

d. PM's will

(1) upon being tasked with management of a particular program, ascertain the program decision authority and ACAT designation for their program, and refer to enclosure (1) for the applicable review/decision forum;

(2) coordinate with the appropriate Assistant PEO's for Acquisition prior to scheduling an ARB, coordination meeting, or AIB with the Acquisition and Program Policy and Support Branch (AIR-1002), for PEO managed programs (amplifying details are contained in enclosures (2) and (3));

(3) coordinate directly with AIR-1002 to schedule ARB's, coordination meetings, or AIB's for DRPM and NAVAIR managed programs, except those noted in paragraph 5g (amplifying details are contained in enclosures (2) and (3));

(4) prepare and present ARB's and associated coordination meetings, following guidance contained in reference (c);

(5) prepare and present AIB briefings following guidance established in reference (f) and amplified in enclosure (3);

(6) distribute advance copies to the Board members (listed in paragraph 2.a of enclosure 2) at least 5 days prior to the ARB; and

(7) take responsibility for resolving actions directed at the review.

e. AIR-00B will prepare the briefing room and take attendance at reviews.

f. AIR-1002 will

(1) administer and coordinate all ARB's, coordination meetings, and AIB's for NAVAIR, the PEO organizations, and DRPM (except those noted in paragraph 6g below) including scheduling, and arranging for room availability;

(2) prepare and distribute minutes for all Naval aviation ARB's and AIB's (except for program's noted in paragraph 6g below); and

(3) maintain an ARB schedule which will be distributed monthly or whenever changes occur.

g. The Assistant Deputy Commander for Special Projects (AIR-01X) will administer and coordinate the necessary ARB's and AIB's for

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special projects, including scheduling and the pre-briefing of designated NAVAIR and/or PEO executive management.

h. Permanent ARB members, as identified in enclosure (2), will designate an alternate to attend ARB's in the event they cannot attend. Any member of the ARB can request the Board be convened with the approval of the chair.



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SUMMARY OF PROGRAM REVIEW RESPONSIBILITIES BY ACAT LEVEL

<u>Program ACAT</u>	<u>Decision Forum</u>	<u>Decision Authority</u>	<u>Initial Review Level Forum</u>	<u>Initial Review Chair</u>
ID	DAB	USD(A)	ARB	AIR-01/PEO/DRPM
IC	PDM	ASN(RDA)	ARB	AIR-01/PEO/DRPM
II	PDM	ASN(RDA)	ARB	AIR-01/PEO/DRPM
III	PDM	ASN(RDA)	ARB	AIR-01/PEO/DRPM
IVT	ARB	SYSCOM/PEO	ARB 1/	AIR-01/PEO/DRPM
IVM	ARB	SYSCOM/PEO	ARB <u>1</u> /	AIR-01/PEO/DRPM

ACAT ID programs are major defense acquisition programs for which the USD(A) wants to retain program decision authority (PDA).

ACAT IC programs are major defense acquisition programs for which PDA has been delegated to the respective Service.

ACAT IVT programs require operational test and evaluation, conducted by the Commander, Operational Test and Evaluation Force.

ACAT IVM programs do not require operational test and evaluation.

1/ An ARB held in connection with an ACAT IV program is the decision forum for that program.

NOTE: The AIB has no formal, permanent Board membership. It is used to review acquisition programs in connection with a specific unresolved issue(s) that is not generally scheduled to go forward for higher level review.

Definition of acronyms:

AIB - Acquisition Issue Board
ARB - Acquisition Review Board
ASN(RDA) - Assistant Secretary of the Navy for Research, Development and Acquisition
DAB - Defense Acquisition Board
PDM - Navy and Marine Corps Program Decision Meeting
PDA - Program Decision Authority
PEO - Program Executive Officer
SYSCOM - Systems Command
USD(A) - Under Secretary of Defense for Acquisition

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THE ACQUISITION REVIEW BOARD

1. Function. The ARB serves as the principal forum for comprehensive appraisal of programs within NAVAIR, DRPM, and the PEO organizations. The ARB is used to provide senior-level review for all categories of acquisition programs that are scheduled to go to a higher level review. Its primary function is to review ACAT I, II, and III programs prior to those programs proceeding to a milestone PDM, and to review ACAT IV programs as the final decision meeting. In the review of NAVAIR/DRPM/PEO programs, the ARB advises PM's and can direct alternative courses of action. Unless waived by the ARB chair, a coordination meeting limited to NAVAIR/PEO attendees will be held prior to each ARB as part of the ARB preparation process.

2. Attendance

a. AIR-01 will chair the ARB if the program being reviewed is assigned to NAVAIR. For programs assigned to either PEO(A) or PEO(T), the cognizant PEO will chair. The cognizant DRPM will chair direct reporting programs. If they so desire, AIR-01, DRPM, or PEO may delegate the chair function. Additional standard ARB Board members are the Assistant Commander for Contracts (AIR-02), Assistant Commander for Fleet Support and Field Activity Management (AIR-04), Assistant Commander for Systems and Engineering (AIR-05), Comptroller (AIR-08), and Counsel (AIR-00C), or their designated alternates. COMNAVAIR, the Vice Commander (AIR-09), and Deputy Commander (AIR-03) will be considered members of the Board if they elect to attend.

b. The PM will normally request that key personnel from the PM's office and the matrix attend. A representative from the Acquisition and Program Policy and Support Branch (AIR-1002) will attend all ARB's, and will be responsible for writing the ARB minutes.

c. The PM is responsible for inviting to the ARB appropriate key personnel from outside the command who are involved with the program, such as the Chief of Naval Operations (OPNAV) requirements officer, representatives from the various Assistant Secretaries of the Navy, and representatives from the Commander, Operational Test and Evaluation Force (COMOPTEVFOR). The PM may elect to invite senior representatives (department head or technical PM) from the lead or responsible Naval Air Weapons Center or appropriate technical activity. If invited, these representatives may be requested by the PM to provide an assessment of the program in the form of a short technical status summary.

d. The PM will prepare an attendance sheet (see attachment A to this enclosure for format) and submit it to the Flag Secretariat (AIR-00B) by noon on the day prior to the ARB. The attendance sheet will list the name, code or activity, rank or grade, and security clearance for each attendee. The attendance sheet should be in alphabetical order to facilitate the check-in process. AIR-00B will check personnel at the door the day of the ARB. Seating space is limited to approximately 25 attendees, so only personnel on the attendance sheet, or their alternate, will be admitted. AIR-00B or AIR-1002 will notify attendees of any changes in the date or time of scheduled ARB's.

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e. The PM's will closely monitor attendance lists and reduce the number of attendees to only those who are essential for presenting pertinent information, responding to questions from the review Board, or documenting the proceedings. All non-Government personnel are prohibited from attending ARB's. All ARB attendees who are not assigned to NAVAIR or the PEO organizations must be identified to the chair by the presenter before the formal briefing begins.

3. Administrative Procedures

a. Each PM of a PEO ACAT I, II, or III program will notify AIR-1002, after coordination with the cognizant Assistant Program Executive Officer for Acquisition (APEO-ACQ), when ready to proceed to a PDM so that an ARB can be scheduled. For DRPM or NAVAIR ACAT I, II, or III programs, the PM should notify AIR-1002 to schedule the ARB as soon as their program is ready to proceed to a PDM. AIR-1002 will either incorporate the scheduled date for the ARB in the monthly briefing schedule or will issue a separate announcement memorandum. PM's should allow, as a minimum, 2 weeks between the date of the ARB and the follow-on PDM, to provide adequate time to resolve issues or complete direction given at the ARB. The scheduling of PDM's are to be coordinated with the PDM Executive Secretary of the Assistant Secretary of the Navy for Research, Development and Acquisition staff, through the appropriate Deputy Assistant Secretary of the Navy.

b. For ACAT IV programs, the ARB serves also as the PDM. Approximately one month in advance of the milestone date for a PEO program, the PM will coordinate with their respective APEO-ACQ prior to scheduling the ARB and coordination meeting. For DRPM and NAVAIR programs, the PM will contact AIR-1002 for specific guidance on scheduling/briefing the ARB and coordination meeting. The PM will be asked to certify that all required milestone documentation has been reviewed/approved prior to conducting the ARB. See paragraph 3.g for additional guidance.

c. Reference (c) provides guidance on the format to be used in PDM presentations. The ARB presentations should be aligned as closely as possible with the presentation that will be made at the subsequent PDM. Enclosure (4) provides general guidance applicable to ARB presentations.

d. Ninety minutes will normally be allocated for ARB's. The actual presentation should not exceed 45 minutes, leaving 45 minutes for discussion and questions.

e. The PM will attempt resolution of issues prior to the ARB. This will require close coordination between the PM, the cognizant PEO staff (if appropriate), AIR-01, appropriate OPNAV codes, COMOPTEVFOR, etc., depending on the nature of the issues. For those ARB's where COMOPTEVFOR will be participating in the presentation, the PM will coordinate an exchange of the respective briefing material with COMOPTEVFOR at the earliest possible time prior to the ARB.

f. No later than 5 workdays prior to the ARB, the PM will provide copies of the unscripted final ARB briefing to the Board members and cognizant budget division. An additional 15 copies will be required at the beginning of the ARB presentation for distribution to the head table.

g. The PM will ensure that pertinent program documentation (e.g., the Integrated Program Summary, Cost and Operational Effectiveness Analysis, Acquisition Plan, Test and Evaluation Master Plan, etc.) has been staffed through all cognizant functional codes prior to the ARB and is available to Board members, upon request. PM's should consult Part 11 of reference (b) for guidance on what program documentation is required prior to each milestone review.

h. For programs proceeding to a Milestone III decision review for Approval for Full Rate Production (AFRP) or a Milestone II/IIA for Approval for Low Rate Initial Production (ALRIP), AIR-1002 is available to consult with prior to the ARB on preparation of the AFRP/ALRIP action package. PM's proceeding to a production review should consult paragraph 2 of enclosure (4) of this instruction.

4. Post Review Action

a. After the ARB presentation, the Board will consider the issues and alternatives and, if appropriate, recommend a course of action to the PM.

b. The chair of the ARB will determine what actions to take to support the program and will assign such action. The actions will be listed in the minutes, along with a responsible office code and, if appropriate, a deadline date for completion.

c. The minutes for each ARB meeting will be prepared by AIR-1002. The PM will be given the opportunity to review and comment on the minutes before they are forwarded to the ARB chair for signature. Copies of the signed minutes will be forwarded to the Board members, the PM, and action item assignees. A copy of the minutes will be maintained on file by AIR-1002.

d. For ACAT I, II, and III programs, the PM will prepare a letter to the program decision authority formally requesting the appropriate milestone decision and the convening of a PDM (the actual scheduling of the PDM should already have been coordinated (see paragraph 3.a above)). The letter will summarize the findings of the ARB and briefly describe any unresolved issues. The last paragraph of the letter will be a statement that the ARB chair certifies the program to be ready for the PDM (appropriate milestone). The letter will be signed by the ARB chair. There should be a minimum of 10 workdays between the ARB and the PDM.

e. The PM will provide 35 copies of the unscripted PDM briefings directly to the Department of the Navy Program Information Center (located in room 5E673/Pentagon, (703) 697-0131) at least 7 workdays prior to the PDM.

DATE _____

ATTENDANCE SHEET FORMAT FOR ARB REVIEW

1. Briefer _____
(Last, First, Middle Initial) (Rank/Grade) (Code)

2. Program _____
(Program Title)

3. Attendees

NAME (Last, First, Middle Initial)	CODE	GRADE/ RANK	SECURITY CLEARANCE
NAVAIR ATTENDEES			

OTHER ATTENDEES

4. Security classification of presentation _____

5. Type of visual aid/projection equipment needed

6. Security clearances have been verified _____
(Signature)

THE ACQUISITION ISSUE BOARD

1. Function. The AIB forum is used to review acquisition programs that have unresolved issues and which are not generally scheduled to go forward to a PDM or higher level Program Review. An AIB does not necessarily require the attention/presence of all the Board members associated with an ARB.

2. Attendance

a. The AIB is chaired by either AIR-01 for a NAVAIR assigned program, the DRPM, or by the cognizant PEO when a PEO assigned program is being reviewed. If they so desire, they may delegate the chair function.

b. There is no standard Board membership. Participants are determined by the chair and the presenting PM. Representatives from COMOPTEVFOR, OPNAV, and other agencies may be invited if appropriate. Unless specifically authorized by the chair, non-Government personnel will not be permitted to attend.

c. The presenter will coordinate the attendance list with AIR-00B.

3. General Procedures. The AIB is usually convened at the request of the chair, or a PM with the approval of the chair. AIR-1002 will schedule the AIB and prepare an announcement memorandum which will include the reason for the meeting. AIR-1002 will notify prospective attendees of any changes in the time or location of the AIB reviews.

4. Presentation

a. Since attendance at AIB reviews is usually limited to individuals directly involved with the program, and who already have significant knowledge of the program, the presentation should be prepared to reflect the issues or problems rather than providing a general overview of all aspects of the program. The AIB presentation, including time for questions and discussion, should not exceed 90 minutes.

b. A sufficient number of copies of the presentation, for advance distribution to the Board members, will be forwarded to AIR-1002 at least 5 workdays prior to the AIB meeting. Sufficient additional copies for the Board members and principal attendees should be distributed at the meeting.

5. Post Review Actions. AIR-1002 will prepare minutes of the AIB session and submit them to the PM for review and comment prior to signature by the chair. Copies of the minutes will be forwarded to the PM, the Board members, and any individual assigned an action item(s) as a result of the AIB. Actions directed at the AIB review will be specified in the minutes with the office code responsible for the action and, if appropriate, the due date for completion of the action. AIR-1002 will maintain a file of AIB minutes. The program office may elect to write the AIB minutes.

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GUIDELINES FOR PROGRAM PRESENTATIONS

1. The following guidelines are provided for PM's involved in preparing and delivering ARB/coordination meeting/AIB briefings:

a. The PDM format guidance provided in reference (c) should be followed as closely as possible in the ARB/coordination meeting presentation. However, this guidance should not prevent the PM from presenting additional information or using other techniques that are considered essential to the review or decisionmaking process, particularly in those instances where the ARB/coordination meeting is convened to review a program that is proceeding to a higher level review that is not a milestone decision review. Attendees outside headquarters should be announced to the chair prior to starting the presentation.

b. The presentation should be as concise and tightly structured as possible but clearly explain the issues and problems that require attention or resolution. Detailed, technical explanations should be avoided unless they are necessary to illustrate a particular point or define an issue.

c. The presenter should not assume that the latest status of program issues or specific acronyms or jargon used in connection with the program are familiar to all of the reviewers.

d. It is important to adhere to the time allotted for the review (normally 90 minutes), allowing sufficient time for questions, discussion, and decisions. Do not attempt to place too much information in the presentation. If the PM has doubts as to whether certain information is appropriate or needed, that information should be included in the back-up viewgraphs which would be shown only if requested by the Board members.

e. The following guidance should be used in preparing the presentation:

(1) The viewgraphs should be in 10 by 7 1/2 inch frames or plastic sleeves to preclude cropping of information. The viewgraphs should be oriented so that the long dimension is horizontal.

(2) The security classification of each classified viewgraph should be indicated in capital letters in the upper left and lower right corners. If there are only a few classified viewgraphs in a presentation, copies of these viewgraphs can be left out of the preliminary distribution and only made available at the actual meeting.

(3) Excessive wording on the viewgraphs will be avoided. Short phrases using bullets are more effective. The heading of each viewgraph will indicate its subject. One line or title viewgraphs for the purpose of introducing succeeding series of viewgraphs will not be used.

(4) On schedule viewgraphs, events not yet completed will be indicated by open triangles or boxes. Completed events will be indicated by solid triangles or boxes.

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(5) Index the back-up viewgraphs to make them easier for the operator to find.

2. The recommendations of COMOPTEVFOR resulting from a program's operational evaluation testing, and the PM's responses to those recommendations, are a critical part of a production milestone (Milestone II/IIA or III) review presentation. How this part of the presentation is briefed can be crucial to obtaining the requested production decision, particularly in those instances where the overall COMOPTEVFOR assessment is less than fully supportive of the PM's decision recommendation. In order to ensure that the program being considered is presented in the best possible manner, PM's are directed to adhere to the following guidance:

a. Following the completion of the COMOPTEVFOR portion of the production milestone briefing, the PM will present a viewgraph(s) that lists the COMOPTEVFOR test result recommendations on the left and the PM's corresponding responses on the right. If more than one phase of testing is involved (for example, a weapon system that has been tested on more than one platform), the recommendations and responses for each separate phase should be presented in the order in which the phases were conducted. Within each set of test phase recommendations, the recommendations will be sorted by degree of severity/ criticality, with those involving Part I deficiencies listed first, followed by Part II, etc. When possible, and in particular for less severe deficiencies, responses to recommendations dealing with one issue will be consolidated. For those deficiencies with which the PM is in agreement with COMOPTEVFOR's position, the PM's response will concentrate on the plan of action and milestones to correct the deficiency.

b. In discussing the recommendations/responses, the briefer will be as succinct as possible, but without omitting any significant points that could have an impact on the review board's final decision.

c. Every effort will be made to avoid detailed technical discussion. The PM needs to recognize that there is a fine line between effectively presenting a response and overburdening the reviewers with technical explanations and data, which may have a negative impact.

d. The PM will work as closely as possible with the COMOPTEVFOR representative prior to the presentation in order for each side to fully understand the other's position and to eliminate surprises during the briefings.